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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. UNICA-002C  
First Inventor A. Wayne Olson  
Title ESCROW MANAGEMENT STRUCTURE  
Express Mail Label No. EL 988303003 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 20]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Attorney (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09 /550,674

Prior application information:

Examiner

C. Hewitt

Group Art Unit: 3621

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label ☒ Correspondence address below

Name Kit M. Stetina, Esq.  
Address STETINA BRUNDA GARRED & BRUCKER  
75 Enterprise, Suite 250  
City Aliso Viejo State CA Zip Code 92656  
Country USA Telephone (949) 855-1246 Fax 855-6371

Name (Print/Type) Kit M. Stetina Registration No. (Attorney/Agent) 29,445  
Signature [Signature] Date 09/12/03

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03940 U.S. PTO  
10/661186  
09/12/03



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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 411

## Complete if Known

Application Number Unknown  
Filing Date Herewith  
First Named Inventor A. Wayne Olson  
Examiner Name Calvin L. Hewitt II  
Art Unit 3621  
Attorney Docket No. UNICA-002C

08940 U.S. PTO  
10/681186  
09/12/03

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number 19-4330  
Deposit Account Name Stetina Brunda Garred & Brucker

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description                | Fee Paid  |
|--------------|--------------|----------|----------|--------------------------------|-----------|
|              |              | 1001     | 750      | 2001 375 Utility filing fee    | 375       |
|              |              | 1002     | 330      | 2002 165 Design filing fee     |           |
|              |              | 1003     | 520      | 2003 260 Plant filing fee      |           |
|              |              | 1004     | 750      | 2004 375 Reissue filing fee    |           |
|              |              | 1005     | 160      | 2005 80 Provisional filing fee |           |
| SUBTOTAL (1) |              |          |          |                                | (\$ ) 375 |

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims 24 -20\*\* = 4 X Fee from below 9 = 36  
Independent Claims 3 -3\*\* = 0 X 42 = 0  
Multiple Dependent 0 = 0

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description   |
|--------------|--------------|----------|----------|---|
|              |              | 1202     | 18       | 2202 9 Claims in excess of 20                                     |
|              |              | 1201     | 84       | 2201 42 Independent claims in excess of 3                         |
|              |              | 1203     | 280      | 2203 140 Multiple dependent claim, if not paid                    |
|              |              | 1204     | 84       | 2204 42 ** Reissue independent claims over original patent        |
|              |              | 1205     | 18       | 2205 9 ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ ) 36

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|--|----------|
|              |              | 1051     | 130      | 2051 65 Surcharge - late filing fee or oath  |          |
|              |              | 1052     | 50       | 2052 25 Surcharge - late provisional filing fee or cover sheet                     |          |
|              |              | 1053     | 130      | 1053 130 Non-English specification   |          |
|              |              | 1812     | 2,520    | 1812 2,520 For filing a request for ex parte reexamination                         |          |
|              |              | 1804     | 920*     | 1804 920* Requesting publication of SIR prior to Examiner action                   |          |
|              |              | 1805     | 1,840*   | 1805 1,840* Requesting publication of SIR after Examiner action                    |          |
|              |              | 1251     | 110      | 2251 55 Extension for reply within first month                                     |          |
|              |              | 1252     | 410      | 2252 205 Extension for reply within second month                                   |          |
|              |              | 1253     | 930      | 2253 465 Extension for reply within third month                                    |          |
|              |              | 1254     | 1,450    | 2254 725 Extension for reply within fourth month                                   |          |
|              |              | 1255     | 1,970    | 2255 985 Extension for reply within fifth month                                    |          |
|              |              | 1401     | 320      | 2401 160 Notice of Appeal  |          |
|              |              | 1402     | 320      | 2402 160 Filing brief in support of an appeal                                      |          |
|              |              | 1403     | 280      | 2403 140 Request for oral hearing  |          |
|              |              | 1451     | 1,510    | 1451 1,510 Petition to institute a public use proceeding                           |          |
|              |              | 1452     | 110      | 2452 55 Petition to revive - unavoidable   |          |
|              |              | 1453     | 1,300    | 2453 650 Petition to revive - unintentional  |          |
|              |              | 1501     | 1,300    | 2501 650 Utility issue fee (or reissue)  |          |
|              |              | 1502     | 470      | 2502 235 Design issue fee  |          |
|              |              | 1503     | 630      | 2503 315 Plant issue fee   |          |
|              |              | 1460     | 130      | 1460 130 Petitions to the Commissioner   |          |
|              |              | 1807     | 50       | 1807 50 Processing fee under 37 CFR 1.17(q)  |          |
|              |              | 1806     | 180      | 1806 180 Submission of Information Disclosure Stmt                                 |          |
|              |              | 8021     | 40       | 8021 40 Recording each patent assignment per property (times number of properties) |          |
|              |              | 1809     | 750      | 2809 375 Filing a submission after final rejection (37 CFR 1.129(a))               |          |
|              |              | 1810     | 750      | 2810 375 For each additional invention to be examined (37 CFR 1.129(b))            |          |
|              |              | 1801     | 750      | 2801 375 Request for Continued Examination (RCE)                                   |          |
|              |              | 1802     | 900      | 1802 900 Request for expedited examination of a design application                 |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0

### SUBMITTED BY

Name (Print/Type) Kit M. Stetina Registration No. (Attorney/Agent) 29,445 Telephone (949) 855-1246  
Signature Date 09/12/2003

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Serial No. Unknown

Filed: Herewith

Title: ESCROW MANAGEMENT STRUCTURE

**CERTIFICATE OF MAILING**

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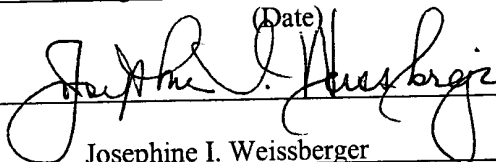
- X I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, Express Mail No. EL 988303003 US at the date indicated below and is addressed to:

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on the date indicated below:

on August 12, 2003

(Date)



Josephine I. Weissberger

(Typed or printed name of person signing Certificate)

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Patent Application Transmittal;
2. Fee Transmittal (in duplicate);
3. Utility Patent Application - copy;
4. Five Sheets of Formal Drawings - copy;
5. Declaration for Utility or Design Patent Application - copy;
6. Small Entity Status - copy
7. Patents Only CoverSheet - copy from parent case;
8. Assignment - copy from parent case;
9. Check for \$411; and
10. Return postcard.